

Element Performance Inspection (EPI) Data Collection Tool 1.2.6 Aircraft Listing (AW)

ELEMENT SUMMARY INFORMATION

Purpose of this Element (certificate holder's responsibility):

- To provide a current listing of aircraft the certificate holder is authorized to operate.

Objective (FAA oversight):

- To determine the effectiveness of the certificate holder's procedures in meeting the desired output of the process.
- To determine if the certificate holder follows its procedures, controls, process measurements, and interfaces for the Aircraft Listing process.
- To determine if there were any changes in the personnel identified by the certificate holder as having responsibility and/or authority for the Aircraft Listing process.

Specific Instructions:

- To accomplish this EPI, the inspector will obtain a current aircraft listing or print out the Operations Specifications, paragraph D085, "Aircraft Listing," and verify that the certificate holder adheres to its processes.

Related EPIs:

- 1.1.1 Aircraft Airworthiness (AW)
- 1.2.1 Airworthiness Release / Logbook Entry (AW)
- 1.2.3 Maintenance Log / Recording Requirements (AW)

SUPPLEMENTAL INFORMATION

Specific Regulatory Requirements (SRRs):

- SRRs:
 - 119.43(b)
 - 119.43(b)(1)
 - 119.43(b)(2)
 - 119.43(c)
 - 119.49(a)(4)
 - 119.49(b)(4)
 - 121.135(a)(1)
 - 121.135(b)(1)
 - 121.135(b)(2)
 - 121.135(b)(3)
 - 121.685
 - A.003
 - A.003 Airplane Authorization
 - A.029
 - D.085

Related CFRs & FAA Policy/Guidance:

- Related CFRs:

- Related CFRs:
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- FAA Policy/Guidance:
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EPI Section 1 - Performance Observables

Objective: The tasks and questions in this section of the data collection tool (DCT) are designed to assist the inspector in determining if the certificate holder follows its written procedures and controls and meets the established performance measures of the process. To accomplish this, questions have been generated to test both the outputs of the process as well as the process itself. Question 1 and its following subquestions are directed at the output(s) of the process, whereas questions 2-6, when answered, should be directed at the process itself.

Tasks

	To meet this objective, the inspector must accomplish the following tasks:
1.	Review the information listed in the Supplemental Information section of this DCT.
2.	Review the certificate holder's policies, procedures, instructions, and information for the Aircraft Listing process.
3.	Review the last accomplished safety attribute inspection (SAI) for this element with emphasis on the controls, process measurements, and interface attribute section responses.
4.	Observe the certificate holder's Aircraft Listing process to gain an understanding of the procedures, instructions, and information.
5.	Discuss the Aircraft Listing process with the personnel (other than management) who perform the duties and responsibilities required by the process.

Questions

	To meet this objective, the inspector must answer the following questions:	
1.	Determine whether the following performance measures met:	
1.1.	Was the aircraft utilized by the certificate holder identified in the aircraft listing?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.2.	Did the certificate holder maintain a current list of each aircraft it operated in domestic or flag scheduled air transportation and a send a copy of the record and each change to the certificate-holding district office?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
1.3.	Did the certificate holder maintain a current list, or incorporate by reference, each aircraft it operated in domestic or flag scheduled air transportation of another certificate holder it operated under an interchange agreement, and send a copy of the record and each change to the certificate-holding district office?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable
2.	Were the certificate holder's policies, procedures, instructions, and information for the Aircraft Listing process, followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.	Were the Aircraft Listing process controls followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
4.	Did the records for the Aircraft Listing process comply with the instructions provided by the certificate holder?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.	Were the process measurements for the Aircraft Listing process effective in identifying problems or potential problems and providing corrective action for them?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

6.	Did personnel properly handle the associated interfaces by complying with other written policies, procedures, instructions, and information that are related to this element?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
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EPI Section 1 - Performance Observables Drop-Down Menu	
1.	Personnel.
2.	Tools and Equipment.
3.	Technical Data.
4.	Procedures, policies or instructions or information.
5.	Materials.
6.	Facilities.
7.	Controls.
8.	Process Measures.
9.	Interfaces.
10.	Desired Outcome.
11.	Other.

EPI Section 2 - Management Responsibility & Authority Observables

Objective: To determine if the person identified by the certificate holder as having responsibility and/or authority for the Aircraft Listing process is qualified, knowledgeable, and recognizes that responsibility and/or authority. (The person with the authority may or may not be the person with the responsibility.)

Tasks

	To meet this objective, the inspector must accomplish the following tasks:
	NOTE: If no personnel or major program changes (as defined by the principal inspector (PI)) affecting the responsibility or authority attributes for this element have occurred since the last SAI and/or EPI was accomplished, then do not perform tasks 3-6 below. Answer questions 1 and 2, below, and provide the name/title.
1.	Identify the person who has overall responsibility for the Aircraft Listing process.
2.	Identify the person who has overall authority for the Aircraft Listing process.
3.	Review the duties and responsibilities for those who manage the Aircraft Listing process.
4.	Review the appropriate organizational chart.
5.	Discuss the Aircraft Listing process with the management personnel identified in tasks 1 and 2.
6.	Evaluate the qualifications and work experience of the management personnel identified in tasks 1 and 2.

Questions

	To meet this objective, the inspector must answer the following questions:	
1.	Is there a clearly identified person who is responsible for the quality of the Aircraft Listing process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title:
2.	Is there a clearly identified person who has authority to establish and modify the certificate holder's policies, procedures, instructions, and information for the Aircraft Listing process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title:
3.	Does the responsible person know that he/she has responsibility for the Aircraft Listing process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
4.	Does the person with authority know that he/she has authority for the Aircraft Listing process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
5.	Does the person with responsibility for the Aircraft Listing process meet the qualification standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
6.	Does the person with authority to establish and modify the Aircraft Listing process	<input type="checkbox"/> Yes

	meet the qualification standards?	<input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
7.	Does the person with responsibility understand the controls, process measurements, and interfaces associated with the Aircraft Listing process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
8.	Does the person with authority understand the controls, process measurements, and interfaces associated with the Aircraft Listing process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
9.	Does the responsible person know who has authority to establish and modify the Aircraft Listing process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
10.	Does the individual with authority know who has the responsibility for the Aircraft Listing process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change

EPI Section 2 - Management Responsibility & Authority Observables Drop-Down Menu	
1.	Assignment of responsibility.
2.	Assignment of authority.
3.	Does not understand procedures, policies or instructions and information.
4.	Does not understand controls.
5.	Does not understand process measurements.
6.	Does not understand interfaces.
7.	Span of control.
8.	Position vacant.
9.	Other.